

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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BT
1-29-04

Attorney Docket No. 029471/0152

Applicant: Tomihiko AZUMA

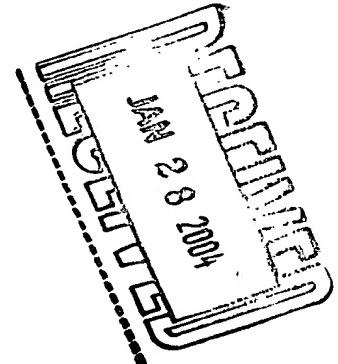
Title: VOICE SIGNATURE TRANSACTION SYSTEM AND METHOD

Serial No.: 09/884,940

Filed: June 21, 2001

Examiner: Unassigned

Art Unit: 2163



**INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56 and 37 CFR §1.97**

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

Submitted herewith on Form PTO-SB08 is a list of documents known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 CFR 1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR 1.97 and 1.98.

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The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any documents which is determined to be a prima facie prior art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The instant Information Disclosure Statement is believed to be filed in accordance with 37 C.F.R. 1.97(b), prior to the mailing date of a first Office Action on the merits (first scenario). If that is not the case, such as in a second scenario in which a first Office Action on the merits has been mailed before the filing of the instant Information Disclosure Statement, then either a certification or fee is required, and a certification is provided below. If neither of the first or second scenarios is the case, such as if a final Office Action or a notice of allowance has been mailed by the PTO (third scenario), then both a certification and fee are required, and in that case a certification is provided below and also the PTO is authorized to obtain the necessary fee to have the instant IDS considered, from Foley & Lardner Deposit Account #19-0741.

CERTIFICATION

The undersigned hereby certifies in accordance with 37 C.F.R. §1.97(e)(1) that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Statement.

RELEVANCE OF EACH DOCUMENT

A translation of a portion of a Japanese Office Action that issued December 2, 2003 with respect to a counterpart Japanese patent application is provided below.

"Reasons

The inventions related to the following claims of the present application could have been easily invented by a person with ordinary knowledge of technology in the field to which the invention belongs based on the inventions recited in the publications below, which had been distributed in Japan or abroad prior to the application, and therefore cannot receive a patent according to the stipulations of Article 29, Paragraph 2 of the Japan Patent Law.

Note

(For a list of the cited literature, see the List of Cited Literature.)

Claims: 1 through 18

Cited Literature: 1 through 4

Remarks

Cited Literature 1 describes a telephone transaction support system whereby the content of a transaction requested by a customer by telephone and the content of the conversation with the customer via telephone at the time of the telephone transaction are associated with the transaction and recorded in a database.

The point of specifying utterance categories from the system side is described in Cited Literature 2, figure 12 and elsewhere, and issuing keywords by automatic vocalization from the system side and recognizing vocalizations repeated by the user is described in Cited Literature 3, page 22.

Moreover, adopting voice recognition for personal authentication in Internet-based electronic sales transaction systems is well known, as described in Cited Literature 4.

List of Cited Literature

1. Japanese Unexamined Patent Application Publication H10-116249
2. Japanese Unexamined Patent Application Publication H08-096056
3. Computer Telephony, 20 March 2000, Vol. 3, No. 4, pp. 19-33
4. Japanese Unexamined Patent Application Publication H10-021305

Record of Prior Art Literature Search Results

Fields searched - IPC 7th Edition - G06F17/60

Prior Art Literature

Japanese Unexamined Patent Application Publication H11-003383
Japanese Unexamined Patent Application Publication H11-353399

This Record of Prior Art Literature Search Results does not constitute a reason for rejection."

Applicant's statements regarding the Japanese Office Action are based on a partial translation that Applicant's representative obtained. These statements should in no way be considered as an agreement by Applicant with, or an admission of, what is asserted in the Japanese Office Action.

Applicant respectfully request that the listed documents be considered by the Examiner and formally be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

Respectfully submitted,

Date

January 12, 2004

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<p style="text-align: center;">Substitute for form 1449 PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: January 12, 2004 (use as many sheets as necessary)</p>				Complete if Known	
Sheet	1	of	1	Application Number	09/884,940
				Filing Date	06/21/2001
				First Named Inventor	Tomihiko AZUMA
				Group Art Unit	2163
				Examiner Name	Unassigned
				Attorney Docket Number	029471-0152

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
A1	6,169,787			SHIMADA et al.	01/02/2001	

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Office ³	Number ⁴	Kind Code ⁵ (if known)			
A2	JP	8-96056				04/12/1996	
A3	JP	10-21305				01/23/1998	
A4	JP	10-116249				05/06/1998	
A5	JP	11-3383				01/06/1999	
A6	JP	11-353399				12/24/1999	

NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.				
	A7	Article – Computer Telephony, March, 2000, Vol. 3, No. 4, pages 19-33				

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, PO Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450.

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